



# ADMINISTRATIVE NOTES

Newsletter of the Federal Depository Library Program

Vol. 12, no. 09

GP 3.16/3-2:12/09

April 15, 1991

## Agenda, Spring 1991 Meeting Depository Library Council to the Public Printer

April 17 - 19, 1991  
57 Park Plaza Hotel  
Boston, MA

### Wednesday, April 17

8:30 - 9:00	Welcome/Announcements	Arthur Curley, Boston Public Library David A. Cobb, Council Chair
9:00 - 9:15	Remarks	Robert W. Houk, Public Printer
9:15 - 9:30	Legislative Update	Nancy Guiden, GPO
9:30 - 9:45	GODORT Issues & Update	Jack Sulzer, GODORT
9:45 - 10:00	Depository Services Update	Joe McClane, GPO
10:00 - 10:15	<b>Break</b>	
10:15 - 10:45	Library Programs Service Update	Bonnie Trivizas, GPO
10:45 - 11:15	Cataloging Update	Laurie Hall, GPO
11:15 - 12:00	LPS Information Technology Update	Jane Bartlett, GPO
12:00 - 1:30	<b>Lunch</b>	
1:30 - 2:00	NREN - Its Potentials & Limitations for Libraries	Brian Kahin, Harvard University
2:00 - 4:00	Government Information Issues Round Table	Key issues in government information will be discussed by groups divided among the registrants.

4:30 - 6:30

Reception - Sponsored by the  
Government Publications Librarians  
of New England

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### Thursday, April 18

9:00 - 9:15

Announcements

David A. Cobb, Council Chair

9:15 - 9:45

Fugitive Documents Issues

Sheila McGarr, GPO  
David Brown, GPO

9:45 - 10:15

LPS Automation Update

Gil Baldwin, GPO

10:15 - 10:30

**Break**

10:30 - 11:00

Private Academic Libraries in the  
Depository Library Program

William Sudduth, Univ. of  
Richmond

11:00 - 12:00

Parallax: Changes in Cartographic  
Information

Patrick McGlammetry, Univ.  
of Connecticut

12:00 - 1:30

**Lunch**

1:30 - 2:00

Council Reports &amp; Discussion

2:00 - 3:30

Open Forum

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### Friday, April 19

9:00 - 9:15

Announcements

David A. Cobb, Council Chair

9:15 - 10:00

TIGER Project Progress

Donna Koepp, Univ. of  
Kansas  
Jim Walsh, Boston College

10:00 - 10:15

**Break**

10:15 - 11:15

Council Recommendations

11:15 - 12:00

Council Elections/Conclusions

12:00

Adjourn

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## Second Fax Number Added for Claims

Claiming documents by Fax has proven so popular that LPS has added a second line. The new number is **(202) 275-6050**. Documents librarians may also still claim materials on the original Fax number, (202) 275-7453.

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## Depository Services Update

During the last six months, two libraries dropped depository status and one library was granted status as a depository. This brings the total number of depositories to 1,397. One regional library dropped regional status. There are currently 53 regional libraries. Due to staffing problems, only 81 libraries were inspected since the Fall Council meeting; this represents a fifty percent decline from previous years.

The 1991 Biennial Survey of Federal depository libraries was disseminated to depository libraries in March. Early returns indicate no major problems with the survey. All survey answer sheets are to be returned by May 15, 1991. The Government Printing Office, with the assistance of the Depository Library Council, will issue a cost survey to a representative sample of approximately 360 depository libraries in early summer of 1991. A list of these libraries will appear in Administrative Notes.

As a result of a new printing contract, the turn-around time for printing Administrative Notes has significantly decreased. This faster turn-around time has meant that Administrative Notes can contain more timely information. In February, GPO published and distributed to libraries the Electronic Bulletin Board System for the Federal Depository Library Program: A Study. During fiscal year 1992, GPO plans on publishing updated versions of the Federal Depository Library Manual and the Instructions to Depository Libraries.

As both the regional librarians and Depository Library Council have approved new criteria for determining superseded depository materials, a committee of eighteen documents librarians has been established to update Appendix C of the Instructions to Depository Libraries. This project should be completed by October 1991.

The 4th Annual Interagency Depository Seminar is scheduled for May 6 through 10, in Washington, DC. The seminar was filled by January and there is a waiting list.

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## Library Programs Service Telephone Numbers, April 1991

### Office of the Director: Stop SL

Director - Trivizas, Bonnie ..... 275-1114  
 Special Projects Manager - Dave Brown ..... 275-1125

### Library Division: Stop SLL

Chief - Baldwin, Gil ..... 275-2756

#### Information Technology Program

Manager - Bartlett, Jane ..... 275-1003

#### Depository Services Staff

Chief - McClane, Joseph ..... 275-1119  
 Designation Program Specialist - Tate, John ..... 275-1109  
 Inspector - Hoa, Quynh ..... 275-1122  
 Inspector - Paskoski, Joseph ..... 275-1122  
 Inspector - Clark, Mike ..... 275-0886  
 Publications Librarian - MacGilvray, Marian ..... 275-1130

#### Cataloging Branch: Stop SLLC

Chief, - Hall, Laurie ..... 275-1121

##### Cataloging Section 1

Chief - Vacant ..... 275-1128

##### Cataloging Section 2

Chief - Vacant ..... 275-1516

##### Cataloging Section 3

Chief - Watkins, Nira ..... 275-1106

### Depository Administration Branch: Stop SLLA

Chief - McGarr, Sheila ..... 275-1071

#### Acquisitions and Classification Section

Supervisor - Lewter, Earl ..... 275-1063  
 Classification Hotline ..... 275-1131

#### Information Processing Unit

Supervisor - Johnson, Barbara ..... 275-1153



**Micrographics Section**

Chief - Peebles, Reginald ..... 275-1152

**Depository Distribution Division: Stop SLDP**

Chief - Redd, Carl ..... 275-1014

**Depository Processing Branch: Stop SLDP**

Chief - Davis, Colleen ..... 275-1006

**Depository Mailing Branch: Stop SLDM**

Chief - Gray, Stevie ..... 275-1006

FAX Claims ..... 275-7453 or  
..... 275-6050

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## Information Technology Program (ITP) Update

Recent activities of the Information Technology Program (ITP) have focused primarily on management and evaluation of the five pilot projects, efforts to "normalize" procedures regarding the acquisition and dissemination of electronic products within the Federal Depository Library Program, and attempts to provide program support with the emerging technologies to depository librarians.

The pilot projects, being conducted by GPO on behalf of the Joint Committee on Printing (JCP) to "test the feasibility of and practicality of disseminating government publications to Depository Libraries in electronic formats", were moved forward in December 1990 with the distribution of the 1985 Congressional Record CD-ROM to all depositories and the completion of GPO-sponsored access to the Department of Commerce's Economic Bulletin Board (EBB) for 100 test site libraries.

The last of the pilot projects was activated on February 1, 1991, when seventeen test site depositories were provided online access to the Department of Energy (DOE) ITIS database. This project, designed to evaluate ways to improve the dissemination of, access to, and utilization of DOE's research results, will conclude with the delivery of the project report from DOE on September 30, 1991.

A current major effort of the ITP is the collection and analysis of pilot project information. With the assistance of the General Accounting Office (GAO), data collection instruments have been designed and disseminated for the EBB, the Environmental Protection Agency's Toxic Release Inventory CD-ROM, and the Congressional Record pilot projects. A survey for a number of Census CD-ROM products, including the first CD-ROM distributed through the program, Test Disc #2, is expected to be mailed to a random sample of all depositories in May. Final reports for the four GPO-managed pilot projects are planned for completion by the end of the current federal fiscal year.

"Normalization" of the acquisition and dissemination of offline electronic products within the Library Programs Service has been an additional effort of the ITP. In October 1990, the first "E" shipping list heralded the recognition of the electronic format as distinct from the paper and microfiche publications traditionally distributed. A separate claims area for the electronic items was established to facilitate prompt response to requests for missing materials in this format. More recently, steps have been taken to incorporate acquisitions procedures for electronic formats into procedures established for agency publications in other formats.

The Electronics Acquisitions and Dissemination Survey was published in Administrative Notes in December 1990. Popularly known as the "Technology Tea" Survey (because of its original appearance at "teatime" during the last Depository Library Council meeting), the purpose of the questionnaire was to invite participation by depository librarians in the development of guidelines for the acquisitions and dissemination of electronic products for the program. The survey generated nearly 300 responses, and the report from the survey will be included in the ITP Update at the



Spring 1991 Depository Library Council meeting. Written comments will follow in Administrative Notes.

Last but hardly least, the ITP is making an effort to assist librarians with the challenges of managing a depository and providing service with the new electronic technologies. Since January 1991, a formerly occasional column in Administrative Notes has been revived and become a regular feature of the newsletter. The "Electronic Corner" is providing a printed forum for the exchange of information about depository operations and use of the electronic products.



## The Acquisitions Process at GPO's Library Programs Service

By Sheila McGarr  
Chief, Depository Administration Branch  
Library Programs Service, U.S. G.P.O.

*[Note: This article has been updated since it originally appeared in Administrative Notes, v. 10, #20, 9/29/89, pp. 2-8]*

The Government Printing Office (GPO) is a organization of 5000 employees headed by the Public Printer. The Joint Committee on Printing (JCP) of the United States Congress has oversight over the GPO.

Within GPO, there are four operational areas, each headed by an Assistant Public Printer. The Superintendent of Documents (SuDocs) is one of the Assistant Public Printers. Under the Superintendent of Documents there are two major organizations, the Documents Sales Service and the Library Programs Service (LPS). The Sales Service is responsible for sale of documents through the Documents Sales Program, distribution of publications through the By-law Program, and distribution performed for other Federal organizations under the Reimbursable Program.

LPS is responsible for administration and operation of the Depository Library Program and the Cataloging and Indexing Program, as well as for the distribution component of the International Exchange Service Program (IES).

In order to acquire publications (government information products such as maps, electronic deliverables, paper, microfiche, etc.) for depository, sales, IES, and by-law distribution, several organizations within SuDocs must coordinate with several other organizations in GPO, including: the Customer Service Department and the Office of Congressional Printing Management (which deal directly with agency and Congressional printing requests), and the Printing Procurement Department and Quality Control and Technical Department (which assist in microfiche procurement).

LPS contains a Library Division and a Depository Distribution Division. Within the Library Division, the Acquisitions and Classification Section is under the purview of the

## Depository Administration Branch.

Depository libraries use information provided by the List of Classes, the Union List of Item Selections, and item cards to identify material they wish to receive. When a library selects an individual item, it is placing a "standing order" for all publications which will be distributed under that item number during the fiscal year.

When the surveys or Amendment of Selection postal cards are received by LPS, the information is entered into the Depository Distribution Information System (DDIS). A number of hard copy reports are generated from DDIS, such as the Item Control Book and the List of Classes. These products are used by the Requisition Section of the Customer Service Department and by the Acquisitions and Classification Section to identify materials that should be sent to depository libraries, their format, and the quantity of depository copies needed.

The acquisitions process itself is complex and decentralized. It consists of two distinct phases: ordering and receiving.

The primary mechanisms for ordering publications for depository distribution are GPO Form 3868, "Notification of Intent to Publish" and/or Standard Form 1 (SF-1), "Printing and Binding Requisition". Depository order quantities recorded on either or both of these forms are incorporated into the jacket information, which serves as authoritative information for both procured and in-house printing.

The purpose of Form 3868 is to provide the Superintendent of Documents with advance notice of publications in order for decisions to be made on the number of depository and sales copies GPO should order. When properly completed, it describes the publication and its intended audience in enough detail for SuDocs staff to determine whether or not the publication should be in the Sales and/or Depository Library Programs, and if so, how many copies should be ordered.

Ideally, the publishing agency should complete the form and submit it to the Superintendent of Documents prior to submitting an SF-1 to GPO. This advance notice allows sufficient time for any research to be done, such that when the SF-1 is submitted, it is not delayed by a need to determine depository and sales counts.

Form 3868 can follow one of two processing paths, depending on whether the printing will be done through GPO headquarters or one of GPO's Regional Printing Procurement Offices (RPPO).

For printing jobs done through GPO headquarters, agencies should submit Form 3868 to the Superintendent of Documents 30 days in advance of submitting the actual printing requisition. Documents Sales Service staff review the forms to determine if the publication warrants inclusion in the Sales program, and if so, the number of copies to be ordered. Sales staff then initiate an SF-1 to "ride" the agency order. The Requisition Section **does not** use the 3868s to determine if the publications belong in the Depository Library Program. They use the SF-1 to determine the item numbers and associated order quantity.



Printing jobs submitted through GPO's RPPOs are seldom preceded by an agency-completed 3868; instead GPO staff complete the form after the agency has submitted an SF-1, using information provided on the SF-1. The RPPO then faxes the 3868 to the Acquisition and Classification Section of LPS. Staff of the Acquisition and Classification Section review the 3868 and note the depository item number and order count. They also transmit a copy of the 3868 to the Sales Service for their review. After the Acquisition and Classification Section personnel receive the results of the sales review, they fax both the Sales and depository library rider quantities back to the RPPO.

Regardless of which processing route the Form 3868 takes, there are problems with relying on them to determine whether or not a publication should be ordered for depository distribution, and, if so, the correct item number and order quantity. The forms are often incomplete and/or illegible, requiring GPO to contact staff of the RPPO and/or publishing agency for clarification and/or additional information. Even then, decisions may be based on inadequate or erroneous information.

Incorrect decisions have two primary consequences: a document which should be distributed to depository libraries is not ordered at all; or a quantity which does not match the needs of depository libraries is ordered, based on an incorrect item number. If LPS receives more publications than are needed for depository distribution, the ordering inaccuracy has no impact on depository libraries. However, if LPS receives fewer copies than are needed for depository distribution, this may impact depositories as discussed in a later section of this article.

Agencies initiate an actual printing request by completing an SF-1 and submitting it to GPO. The SF-1 records printing and binding specifications, and is accompanied by a manuscript, camera-ready copy, offset negatives, magnetic tape, etc., of the publication. The agency should also indicate if an associated 3868 was completed by attaching a copy to the SF-1. In the case of electronic deliverables, the SF-1 can be accompanied by a floppy diskette for duplication or specifications for CD-ROM procurement.

As with Form 3868, SF-1's may take two processing paths, depending on whether the publication is produced through GPO headquarters or through one of GPO's RPPOs.

For publications produced through GPO headquarters, the SF-1 is often submitted in advance to the Customer Service Department. The SF-1 is processed by GPO agency liaisons/account representatives who are responsible for overseeing the job, and who assist agencies with the printing of their documents. These agency liaisons are printing specialists who provide technical expertise regarding typefaces, paper, etc., but the final specifications are the result of agency decisions.

After the SF-1's have been finalized by the account representatives, the SF-1's and the associated manuscript, diskette, etc. are forwarded to the Requisitions Staff, along with the 3868 if one had been submitted. The Requisition Staff, using the Item Control Book, determine the depository item number and order quantity. If they are in doubt about any depository information, the Requisition staff contact an Acquisition and Classification Section specialist for assistance.

For SF-1's submitted to GPO's RPPOs, staff of the RPPO complete a 3868 and fax the information to the Acquisitions/Classification Section, as described earlier.

After assembling all the pertinent information, GPO decides whether the job should be done in-house or contracted out to a commercial firm, and prepares a jacket. A "jacket" (a numerical job identifier), consisting of the manuscript, SF-1, and an informational envelope, is created and given a five-or six digit jacket number.

The envelope itself is the only source of complete information about the product, such as how many copies were ordered for sale, depository libraries, and the item number. The jacket number is also the five or six digit number found in the GPO imprint at the end of a text.

If the job will be contracted to a commercial firm or produced in-house, information such as total quantity ordered, status of galley proofs, delivery date, etc., is entered into either the Procurement Information and Control System (PICS) or the Production and Estimating Planning System (PEPS). Using PICS or PEPS, staff can determine the status of a specific publication only if they know the jacket number. Neither PICS nor PEPS provides a field for searching a record by the title of the publication. However, there are fields for entering the depository item number and depository order quantity.

Once procured, depository materials are delivered to a dedicated receiving dock in Jackson Alley at GPO headquarters. It is a common misconception that depository and sales copies are delivered to the same location and then separated; however this is not the case.

Briefly, after LPS receives bulk stock, it is counted, and classified, and the correct item number and distribution quantity is determined from the classification number. If all goes well, the item number determined as a result of the classification process is identical to that used for ordering the publications (so that the order quantities match), and LPS has received the quantity that was ordered. Shipping lists are typed (coded "P" for paper; "M" for microfiche; and "E" for electronic) and the documents are distributed through the Lighted Bin System. As the last step in processing, the documents are cataloged.

The above description of the acquisition process is applicable to individually printed agency published documents (paper, microfiche, electronic deliverables, etc). There are additional ways in which LPS acquires other types of documents. There is a separate procedure for acquiring Congressional publications, a separate procedure for acquiring publications which are procured via one-time bid and direct deal term contracts, and several variations on an additional acquisition cycle to obtain microfiche copies of publications which LPS receives in hard copy or duplicating floppy diskettes. Each of these additional acquisition mechanisms is at least as complex, if not more so, as the one already described. Taken together, one begins to appreciate the enormity of the acquisitions process, and the many opportunities for human error in basically manual, labor intensive workflows.

Given the complexity of depository acquisition, including a complicated manual



workflow and the number of organizations which may be involved, any number of problems may arise during the course of acquiring a given document. In fact, many do arise, and are not apparent to depository libraries. However, depository libraries are acutely aware of shortages (rainchecks) and non-receipts (publications not distributed to them).

Shortages occur when LPS receives fewer copies than are required for complete depository distribution. They can be characterized into two groups: ordering errors and production errors.

Ordering errors arise when a publication procured through GPO is not recognized as a depository item, and no depository copies are ordered. Additionally, a publication may be ordered under a different item number than that subsequently derived after the document has been classified. For "mixed" item numbers (when the format can be either paper or microfiche depending on the physical characteristics), two hard copies may be ordered for microfiche conversion, only for LPS to find out after the document has been delivered that it is not ficheable. For direct deal term contracts, agencies may use an outdated order quantity or fail to order depository copies at all.

Production errors arise when LPS receives fewer usable copies than were ordered. The printer may have delivered fewer than were ordered, or the printer may have delivered the requisite quantity, but defects in some or all of the publications render a portion of the material unusable.

A publication is considered a non-receipt when no copies at all are provided to the Depository Library Program even though the publication is "within scope." Non-receipts can be due to ordering errors (as described above), but the bulk occur when agencies do not procure their material through GPO and do not provide the Program with depository copies as required by Title 44, United States Code. These are the so-called fugitive publications.

When LPS discovers a shortage or a non-receipt, specific action is taken depending on whether or not the publication was procured through GPO, the magnitude of the shortage, and the suitability of converting the publication to microfiche. This action involves two separate decisions: when to distribute and how to obtain additional stock.

When a shortage arises, LPS can either distribute the stock on hand and issue rainchecks, or delay distribution of any copies until the necessary quantity for full distribution is on hand. This decision is based on the magnitude of the shortage: if a shortage is substantial (over 300 copies), LPS will delay distribution. If the shortage is less severe, then the publication is distributed as a rainchecked item. Thus, in the first case, the shortage may be evident to depository libraries only as delayed distribution.

LPS activities to acquire copies for depository distribution are varied, depending primarily on whether or not the publication was procured through GPO, and whether or not the shortage was due to an ordering error or a production error.

Production errors, such as delivery shortages and printing or binding defects, when



discovered, are documented by completing Form 1815, Notice of Quality Defect. Obtaining stock for printing contracted through GPO is the responsibility of the Customer Service Department and/or Contracting Officer, who must enforce contractor compliance with the terms of the contract specifications. If the shortage or defect involves publications produced in-house by GPO, LPS and/or Customer Service will obtain additional stock through internal mechanisms..

When fewer publications than necessary were ordered, LPS must obtain additional copies through other means (see Figure 1). If the publication was printed through GPO, LPS requests additional copies from Documents Sales Service if the document is in the Sales Program. If Sales cannot supply LPS with the necessary stock, or if the publication is not a sales item, LPS informs appropriate personnel in GPO's Customer Service Department by forwarding a Publication Alert form. The Account Representative attempts to obtain additional copies from the publishing agency. If copies cannot be obtained from the publishing agency, staff of the Acquisitions and Classification Section initiate procedures to reprint the publication by completing an SF-1.

If the publication was not printed by GPO, LPS requests additional copies from the publishing agency by sending it a Publication Request form. LPS simultaneously notifies the Joint Committee on Printing that the request is being made. Many agencies fail to provide the depository copies requested, but LPS lacks an enforcement mechanism to ensure compliance.

In cases where the agency cannot supply the requisite quantity of paper copies, LPS routinely attempts to obtain at least one paper copy to evaluate the suitability of the title for distribution in microfiche. If the physical format is conducive to fiche, the document is converted to microfiche and distributed to depositories in that format. If, however, the document cannot be microfiched, no distribution will be made to depository libraries, since GPO cannot use appropriated funds to go back to press for agency produced publications. The results of LPS attempts to obtain these "fugitive documents" are reported in the "Whatever Happened to...?" column in Administrative Notes.

Recently LPS has begun to incorporate the acquisition, classification, shipment, and cataloging of electronic deliverables into its normal workflow. Publication Management Specialists handle the acquisition and classification of electronic products within their agencies of responsibility. New products continue to be surveyed paper, microfiche, and map titles. "Catch all" item numbers have been set up so that riders can be added to agency requisitions even though LPS may not have received advance notice of availability.

LPS has discontinued its former practice of maintaining a separate storage area for electronic products. If a CD-ROM arrives before its accompanying floppy diskette, it is mailed and documents librarians are notified by a note on an "E" (electronic) shipping list. Claims for missing pieces of an electronic publication, or for defective items, are submitted in the same way as for paper and microfiche products. Librarians are notifying LPS of existing electronic products outside the Depository Library Program by means of the Depository Library Inquiry Form which has been recently modified to include an "electronic" category.

The foregoing description of the acquisition process from initial order to receipt and distribution, including procedures used to obtain non-receipt and shortage stock, serves to put the acquisition of depository publications in perspective. If the description seems difficult to understand, it is because the process itself is complex. This article does not begin to touch upon the "other" acquisition procedures -- those used for Congressional publications, publications printed using term and direct-deal contracts, microfiche, and cooperative distributions such as those done jointly by GPO and the U.S. Geological Survey, the Defense Mapping Agency, the National Ocean Service, or the Department of Energy.

## Depository Microfiche Contracts: Status Report

As of March 29, 1991

B159S	<b>Microfiche of Congressional Bills</b>
Term:	March 31, 1991 - March 31, 1993 (Microform, Inc.)
Status:	Contract running smoothly.
B354S	<b>Microfiche of Miscellaneous Publications (I)</b>
Term:	February 1, 1991 - January 31, 1992 (Modern Microfilm Methods, Inc.)
Status:	Contract just starting.
B456S	<b>Microfiche duplicated from Government-Furnished microfiche</b>
Term:	May 1, 1990 - April 30, 1991 (Automated Datatron, Inc.)
Status:	Current contract is running smoothly. Bid on new contract opens April 5.
B510S	<b>International Exchange Service microfiche</b>
Term:	November 1, 1990 - October 31, 1991 (Computer Microfilm Corporation)
Status:	Contract is running smoothly.
B513S	<b>Monthly Catalog microfiche</b>
Term:	June 1, 1990 - May 31, 1991 (Anacomp, Inc.)
Status:	Contract running smoothly.
B532S	<b>Microfiche of Committee Prints and Hearings</b>
Term:	April 1, 1991 - March 31, 1992
Status:	Bid opens on new contract March 18.
B562S	<b>Microfiche of Congressional Reports and Documents</b>
Term:	February 1, 1991 - January 31, 1992
Status:	Pre-award testing being performed by second lowest bidder. Lowest bidder failed test.
B613S	<b>Microfiche of Code of Federal Regulations</b>
Term:	September 1, 1990 - August 31, 1991 (Independent Professionals, Inc.)
Status:	Contract is running smoothly.



B788S      Microfiche of **Flood Insurance Studies and NUREGS**  
 Term:      October 1, 1990 - September 30, 1991 (Microform, Inc.)  
 Status:     Contract is running smoothly.

B789S      Microfiche of **Cancergrams, Daily News, and GAO Reports**  
 Term:      August 28, 1990 - July 31, 1991 (Independent Professionals, Inc.)  
 Status:     Contract is running smoothly.

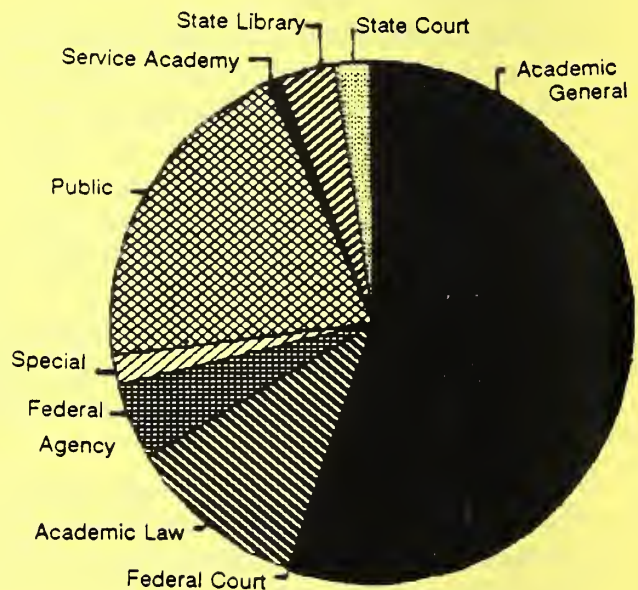
B790S      Microfiche of **Official Gazettes**  
 Term:      November 1, 1990 - October 31, 1991 (Microform, Inc.)  
 Status:     Contract is running smoothly.

B791S      Microfiche of **ERIC and CIJE**  
 Term:      September 1, 1990 - August 31, 1991 (Microform, Inc.)  
 Status:     Contract is running smoothly.

B795S      Microfiche of **Miscellaneous Publications (II)**  
 Term:      April 1, 1991 - March 31, 1992  
 Status:     Pre-award testing being conducted.

### Depository Libraries by Library Type

Type	#	%
Academic General	771	55.19
Federal Court	5	0.36
Academic Law	154	11.02
Federal Agency	66	4.72
Special	25	1.79
Public	286	20.47
Service Academy	10	0.72
State Library	49	3.51
State Court	31	2.22
<b>Total</b>	<b>1397</b>	





# Status of Bound Congressional Record As of March 29, 1991

Congress/ Session	Volume	Year	Distribution Accomplished/Planned	Status	Funding/ Authorization
98/1st	129	1983	Dual format - paper or fiche 560 selected paper; 850 fiche  Partially accomplished	Index: to be released for printing in summer 91; LPS has requested paper reprint; reprinting not completed; LPS has sent the volumes to MF contractor	Funding authorized for paper and microfiche; JCP prohibition on fiche lifted
98/2nd	130	1984	Dual format - paper or fiche 560 selected paper; 850 fiche  Partially accomplished	Index: to be released for printing in spring 92; LPS has requested paper reprint; reprinting not completed; LPS has sent the volumes to MF contractor	Funding authorized for paper and microfiche; JCP prohibition on fiche lifted
99/1st	131	1985	CD-ROM Pilot Project; Ban on microfiche Paper for regionals only	Paper reprint requested for regionals; press run not started; CD-ROM to all libraries in November 1990; index shipped; available from GPO Sales	Funding authorized for paper for regionals; microfiche for rest; JCP prohibition on microfiche; CD-ROM pilot project funding authorized
99/2nd	132	1986	Paper for regionals only; Ban on microfiche; No CD-ROM decision yet	Index: delivery expected summer 91; text partially completed; next CD-ROM? available from GPO Sales	Funding authorized for paper for regionals; microfiche for rest; JCP prohibition on microfiche
100/1st	133	1987	Paper for regionals only; Ban on microfiche; No CD-ROM decision	Index: to be released for printing in mid FY 92; text partially printed; available from GPO Sales	Funding authorized for paper for regionals; microfiche for rest; JCP prohibition on microfiche
100/2nd	134	1988	Paper for regionals only; Ban on microfiche; No CD-ROM decision	Index: to be released for printing in early FY 93; text partially printed; available from GPO Sales	Funding authorized for paper for regionals; microfiche for rest; JCP prohibition on microfiche

101/1st	135	1989	Paper for regionals only; Ban on microfiche; No CD-ROM decision		Funding authorized for paper for regionals; microfiche for rest; JCP prohibition on microfiche
101/2nd	136	1990	Paper for regionals only; Ban on microfiche; No CD-ROM decision		Funding authorized for paper for regionals; microfiche for rest; JCP prohibition on microfiche
102/1st	137	1991	Paper for regionals only; Ban on microfiche; No CD-ROM decision		Funding authorized for paper for regionals; microfiche for rest; JCP prohibition on microfiche
102/2nd	138	1992	Paper for regionals only; Ban on microfiche; No CD-ROM decision		Funding requested for paper for regionals; microfiche for rest; JCP prohibition on microfiche

## Responses to Fall 1990 Depository Library Council Recommendations

**Recommendation 1.** The Depository Library Council is pleased with the draft report on the electronic bulletin board system. The Council urges immediate implementation of the bulletin board with electronic mail capability.

**Rationale:** An electronic bulletin board will be valuable for the distribution of information to the depository libraries, and also for communication among the GPO and its participating libraries.

**Response:** The Government Printing Office (GPO) will implement the Federal Depository Library Program Bulletin Board (FDLP/BB) as soon as the requisite personnel and hardware resources are in place in the Library Programs Service (LPS). LPS has obtained the services of an employee with the technical expertise to implement the FDLP/BB on a pilot basis. LPS will then implement phase 1 of the FDLP/BB, consisting of downloadable program administrative information, and an interactive messaging capability. Phase 1 will operate on a dial-up basis, and the issues of telecommunications or network access will be investigated once LPS has gained familiarity with the regular operation of a bulletin board.

**Recommendation 2.** The Depository Library Council is pleased to learn that enhancements have been proposed to improve the lighted bin system at the Government Printing Office. In order to improve the sorting and delivery of documents, the Depository Library Council urges the Public Printer to approve funding for the implementation of these enhancements.

**Rationale:** The lighted bin system is integral to the distribution of documents to the Depository Library Program. Its aging hardware/software requires a continual and regular maintenance program.

**Response:** The Library Programs Service (LPS) has long recognized the need for enhancing the Lighted Bin System (LBS) and requested funding to undertake system enhancements in fiscal year 1992. A major feature of the proposed enhancements is the detection and diagnosis of electromechanical problems in the system, in order to prevent situations like that which occurred in 1990 and again in early 1991 in which cross-wiring in the LBS resulted in libraries not receiving the publications which they had selected.

**Recommendation 3.** The Depository Library Council was interested to learn that GPO is preparing a 5-year cumulative index to the Monthly Catalog to be issued in microfiche. The Council recommends that the Public Printer investigate whether those indexes that have been issued in microform could be re-issued with a single cumulative index on CD-ROM, covering the years 1976-1990. As a further enhancement, the Depository Library Council recommends that the Public Printer consider whether the Monthly Catalog in its entirety could be converted to compact disk for the period July 1976 to the present, to continue on an ongoing monthly basis.



**Rationale:** The compact disk offers a single file to search instead of many paper issues; it offers more powerful search capability and the ability to print out the results of a search.

**Response:** The Library Programs Service has formed an agency-wide working group which will prepare a feasibility study and cost benefit analysis of five options for issuing and disseminating cataloging information. The group will examine the Monthly Catalog existing product line, consisting of paper, microfiche, and machine-readable tapes, as well as two potential alternatives: CD-ROM and an online service. Should this analysis result in a finding that CD-ROM best meets the objectives of the Government Printing Office, the depository library community, and end users, the group will make a recommendation concerning the possibility of issuing a CD-ROM Monthly Catalog. The working group intends to complete this analysis and its recommendations by September 30, 1991. Production of the 1986-1990 cumulative index in microfiche will be postponed pending the results of the study.

**Recommendation 4.** The Depository Library Council recommends that, where possible, files distributed in electronic products and services be in open architecture formats to 1) facilitate access through a variety of software packages, 2) encourage the development of new software to improve access, and 3) enable the recovery, downloading, and exchange of the original data for transfer to other media for further reprocessing.

The Council further recommends that the Public Printer appoint a Standards Committee to establish appropriate standards for the distribution of government data to depository libraries in readily accessible forms. Such standards should be incorporated into the Agency Procedural Handbook for the Procurement of Commercial Printing Services. While we recognize that such standards might be different for different kinds of files, such as text or statistical data, a small number of basic standards would facilitate access. Such a committee should also identify appropriate freeware or shareware compatible with the accepted standards for the use of libraries which cannot afford or do not have more expensive commercial packages.

**Rationale:** The Depository Library Council is concerned that, as more products become available in electronic products and services, they may be distributed in different incompatible formats. For example, some files may be produced in dBase III format while others may use different data structures requiring specialized software. If this occurs, it will not only generate additional expense for depository libraries, it will also create problems for librarians and users attempting to learn to use a variety of packages to access the information.

Freeware or shareware identified by the Standards Committee could be distributed via the electronic bulletin board or on floppy disk or imbedded directly on a compact disk.

**Response:** GPO shares the concern of Council and depository libraries that government electronic products are currently being produced and distributed with inconsistencies, incompatibilities, and a variety of user interfaces. The CD-ROM industry and the federal government are attempting to ameliorate a number of these problems through the development of standards which will result in the production of CD-ROMs which can be

accessed with any computer operating system, with any disc indexing structure, and with any compliant user interface.

GPO's manager of the Graphic Systems Development Division is a member of the government advisory panel tasked with improving a proposed CD-ROM data exchange standard, CD-RDx. The panel, commissioned by the Intelligence Community Staff, under the Director of Central Intelligence, is developing this standard to establish protocols that will enable universal interoperability of CD-ROMs. Universal interoperability would mean that CD-ROMs would become system and software independent. In terms of user interfaces, adoption of such a standard could mean that discs manufactured with the accepted protocols could be operated with the user's choice of any interface which had adopted the protocols. The final version of the proposed standard is being readied for submission to the National Information Standards Administration (NISO) as a basis for establishment of an American National Standard.

However, although GPO is concerned about the usability of the products or services being disseminated through the Sales Program or the Depository Library Program, it does not have the authority to establish standards for federal publishers as a group. GPO's mission is one of providing production, procurement, and distribution services for information products of Congressional and federal agency publishers. It can and does advise these publishers about strategies for improving the quality and marketability of their products, but, ultimately, it is the decision of the publisher that determines the characteristics of the products which arrive in the depository library.

Libraries are urged to communicate their concerns about lack of standardization or lack of software directly to the publishing agency or to the appropriate working group within the Special Interest Group on CD-ROM Applications & Technology (SIGCAT). For information about SIGCAT, contact E.J. (Jerry) McFaul at the U.S. Geological Survey, 904 National Center, Reston, VA 22092-9998.

**Recommendation 5.** The Depository Library Council remains seriously concerned about the prospective elimination of the paper version of the bound Congressional Record. Although the Council applauds the development of the CD-ROM version of the Record, the Council believes that the Record has important historical and archival value to the nation. As a result, the Council urges strongly that the Public Printer work to retain the funds to continue to print and make the paper bound Record available to Regional Depository Libraries at a minimum and to fill any gaps between 1983 to the present that may have occurred due to lack of funding or for any other reason. Council still supports the production and dissemination of the microfiche version of the bound Record as stated in Recommendation #1 of the Spring 1990 Council recommendations.

**Response:** Congress approved the distribution of the 1991 bound Congressional Record in paper format to 60 regional depository libraries and selected libraries in states without regional depositories. GPO will reprint and distribute paper copies of the bound Congressional Record for the years 1985 and later to those 60 libraries. Gaps in paper holdings from 1983-1984 will be filled for those 560 libraries selecting item number 0993 as soon as reprinting can be completed. Reprinting volumes from 1985 and later will begin soon. GPO has included funds for the continuation of paper distribution of the



final Congressional Record as part of our Fiscal Year 1992 appropriations request.

In its July 13, 1990 letter to the Public Printer, JCP stated in part that it "must withhold a final decision whether or not to direct the microfiching of the 1985 edition" until they have had an opportunity to assess the results of the Congressional Record CD-ROM pilot project. GPO is awaiting JCP's direction regarding the feasibility of replacing the microfiche with CD-ROM or offering CD-ROM in addition to microfiche.

**Recommendation 6.** The Depository Library Council recommends to the Public Printer that the Library Programs Service continue to offer print/microfiche publications for selection when corresponding electronic products or services become available.

**Rationale:** Council understands the equivalency/duplication between paper and microfiche. However, it does not accept a similar equivalency/duplication between those formats and electronic formats.

**Response:** GPO will take this recommendation into consideration as we develop policies for, and make decisions regarding, the formats in which Federal government information will be distributed through the Federal Depository Library Program.

**Recommendation 7.** The Depository Library Council regrets the continued non-compliance with the provisions of Title 44 by the Library of Congress and the Environmental Protection Agency. Council recommends that the Public Printer directly contact the Librarian of Congress and the Administrator of the Environmental Protection Agency regarding the legal requirements for including their publications in the Depository Library Program.

**Rationale:** Reference is made to the response to Recommendation #16 (Spring Council 1990). The Depository Library Council finds it difficult to understand "... that these issues have been worked out on a case by case basis to the mutual satisfaction of the Public Printer and the Librarian of Congress" based on our knowledge of continued non-compliance. Council further believes that problems of non-compliance exist with the products and services from the Environmental Protection Agency and that the Depository Library Program would be significantly enhanced if both of these government entities followed the spirit and letter of the law.

**Response:** Letters transmitting this recommendation were sent to the Environmental Protection Agency (EPA) and the Library of Congress (LC). See Attachment A for EPA's response. See Attachment B for LC's response.

**Recommendation 8:** The Depository Library Council recommends that the Public Printer explore the means by which the forthcoming database of the Department of State, Bureau of Public Affairs, can be made available to the Depository Library Program and archived for public access.

**Rationale:** The Depository Library Council is concerned that the official documentary record of the Department of State, as reflected in The Dispatch, will only be available to the depository program in a selective paper form. Additional information from the



Bureau of Public Affairs will be available only in electronic form through the private sector. The Council is concerned that this limited distribution of important government information may not meet the requirements of Title 44. Council urges the Public Printer to further investigate this Department of State database and vigorously pursue government information regardless of format.

**Response:** The provision of access to the database of the Department of State through the Federal Depository Library Program will not be considered in isolation from an overall policy regarding depository access to Federal online databases.

**Recommendation 9.** The Depository Library Council was pleased to learn that the Public Printer is engaged in a long term strategic plan for the Government Printing Office. The Council endorses this effort, offers its support and assistance and asks to be included in the review process relating to the Depository Library Program before final publication of the plan.

**Response:** The Public Printer is pleased with the support and assistance offered by the Depository Library Council. Being an essential advisory body to the Public Printer, as well as a vital stakeholder of the GPO, the Council will be involved in the review of the strategic plan, since its content will have a direct effect upon the library community. As recently as February 7, 1991, the Public Printer has testified before Congress of this intent.

**Recommendation 10.** The Depository Library Council is concerned about proposals that appear to raise the possibility of cost sharing for the dissemination of government information in electronic form. The Council believes that the basic principle of free access to government information should not be compromised, and that no charge should be levied for the information itself or to the end user.

The Council understands that there may be costs - such as telecommunications costs - associated with the distribution of electronic information that are a) highly variable, and b) not within the control of the government. The Council recommends that the Public Printer identify the means of disseminating such information to depository libraries at the lowest possible cost. The Council further recommends that the Public Printer investigate low-cost telecommunications and other strategies. The pilot projects now underway should yield valuable information about usage and actual costs.

The Council is troubled by proposed legislation that would permit "cost sharing" in the statute. Such proposals to date have been vague, undefined, and open-ended. As such, they threaten to compromise some of the basic principles of the Depository Program, as indicated above. The Council recommends that the Public Printer philosophically oppose such proposals.

**Response:** This recommendation will be addressed by the Office of General Counsel Opinion.

**Recommendation 11.** The Depository Library Council recommends to the Public Printer that the Library Programs Service prepare for Council's review minimum technical

guidelines for depository libraries. These guidelines should include, but not be limited to, basic applied information technologies, such as:

- 1) workstation configurations including computer processing power, monitors with an adequate graphics capability, adequate mass storage, adequate random access memory (RAM), CD-ROM drives and printers;
- 2) appropriate software including database management systems, telecommunications and word processing which can accommodate ASCII;
- 3) telecommunications including modems and e-mail;
- 4) staff training to use the basic information technologies recommended and,
- 5) appropriate storage medium for the information products and equipment.

Once the final guidelines have been published in Administrative Notes, implementation of these guidelines should serve as goals for existing depositories and for all new depository libraries. These guidelines should be annually reviewed and revised to reflect advances in information technologies.

Further, GPO should develop and maintain an agency and/or library contact list of resource personnel who can provide technical assistance and support for the application of information technologies.

**Rationale:** As more information is distributed to depository libraries in electronic formats, libraries should have the appropriate information technologies and expertise in their operation to access and utilize these formats on behalf of, and by, their constituents.

**Response:** The Library Programs Service has developed proposed minimum technical guidelines for federal depository libraries. These guidelines were mailed to the Council members for their review during the second week of February.

**Recommendation 12.** Uncertainty arose at the Fall 1990 Depository Library Council meeting concerning the question of whether costs that may be associated with receipt of electronic information, distributed through the Depository Library Program, may be passed on to library users. Although the Council believes this should not be done, Council requests the Public Printer to seek the advice of his legal Counsel on the dissemination of information in electronic form and its associated issues such as costs, and to provide copies of the resultant legal opinion to the Depository Library Council and have it printed in Administrative Notes.

**Response:** This recommendation will be addressed by the Office of General Counsel Opinion.



ATTACHMENT A



UNITED STATES ENVIRONMENTAL PROTECTION AGENCY  
WASHINGTON, D.C. 20460

MAR 04 1991

OFFICE OF  
ADMINISTRATION  
AND RESOURCES  
MANAGEMENT

Mr. Robert W. Houk  
Public Printer  
U.S. Government Printing Office  
Washington, D.C. 20401

Dear Mr. Houk:

This is in response to your letter of January 24, 1991 regarding a recommendation from the Depository Library Council that this Agency comply with requirements to disseminate EPA publications through the Depository Library Network.

As you note, we at EPA are fully committed to the citizen's right to full access to government information. We believe that an informed public is our strongest partner in protecting the environment.

We recognize that our internal Agency mechanisms for assuring that EPA publications reach the Depository Library Network are not effective. I have had several conversations recently with Senator Ford and his staff about these and related printing issues. I believe he understands our strong commitment to improve EPA compliance with all printing regulations. In turn, we understand that it is in our interest for the public to have access to environmental information through the Depository Libraries.

A task force, comprised primarily of printing, information management and procurement staff, has been charged with analyzing and improving the Agency's practices so the dissemination of these publications will occur in a proper manner.

The task force identified several sources of problems, and has initiated steps to correct them. For example, to improve EPA awareness of printing regulations, an Agency-wide memorandum on policy and procedures is in preparation.



In addition, the task force began contacting major field printing contacts to analyze their printing and distribution procedures. As a result of these dialogs, we expect major improvement in compliance with dissemination of EPA publications to the Depository Libraries.

We have also identified questions about types of materials appropriate for the Depository Libraries and plan to meet with Federal Depository Library Program staff to assure that all appropriate EPA publications are processed as required.

We are confident these steps will greatly improve access to EPA publications through the Depository Library Network. Thank you for your concern and interest.

Sincerely,



Charles L. Grizzle  
Assistant Administrator

ATTACHMENT B



## THE LIBRARIAN OF CONGRESS

WASHINGTON, D.C. 20540

March 25, 1991

Dear Bob:

Thank you for conveying to me the Depository Library Council's continuing concerns about the Library's compliance with the provisions of Title 44, as expressed at its October 1990 meeting.

As I indicated in my August 1990 letter responding to the same concern, the Library of Congress recognizes the great value of the Federal Depository Library Program and is committed to the free access to government information it represents. We have long been an active participant in the program and deposit a substantial number of publications every year. Those few that are not added are cooperative publications, exempt from the depository requirement under 44 USC 1903, or are published with gift and trust funds received through 2 USC 156-160. As you know, materials prepared by the Congressional Research Service (CRS) for the use of the Congress are a special case. Materials prepared by the CRS may only be distributed outside the Congress under the limitations imposed by annual legislative branch appropriation language under the title, Congressional Research Services, Salaries and Expenses.

I believe a more productive way to address this issue would be for someone on the Council to identify specific publications in question and to bring them to the attention of the Library's liaison to the Council, Ellen Hahn, prior to the Council meeting in April. She can then review the matter with appropriate colleagues within the Library and respond to the Council's concerns. We need to interrupt the cycle of generalized recommendations and responses in order to resolve this issue.

Ms. Hahn can be reached at 202-707-5543, or, in writing, as Director for Public Service and Collection Management, Constituent Services, Library of Congress 20540.

Sincerely,

A handwritten signature in black ink, appearing to be "James H. Billington", written over a large, stylized circular flourish.

James H. Billington  
The Librarian of Congress

The Honorable Robert W. Houk  
Public Printer  
U.S. Government Printing Office  
Washington, D.C. 20401

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